

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION: Mark Edward KANE, et al.

GROUP ART UNIT:

SERIAL NUMBER: New Application

EXAMINER:

FILED: Herewith

FOR: METHOD AND SYSTEM FOR AUTOMATICALLY ACTIVATING A WARNING DEVICE ON A TRAIN

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants wish to disclose the following information.

REFERENCES

- Applicants wish to make of record the documents listed on the attached Form PTO-1449. Copies of the listed documents were submitted in parent application 10/184,929, filed July 1, 2002, now allowed.

RELATED CASES

- Attached is a list of Applicants' pending applications and issued patents which may be related to the present application. Copies of the documents were submitted in parent application 10/184,929, filed July 1, 2002, or are attached.

CERTIFICATION

The undersigned certifies that

- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign or international patent office in a counterpart foreign or international application for the first time (to the knowledge of the undersigned, having made reasonable inquiry) not more than three months prior to the filing of this statement.
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign or international patent office in a counterpart foreign or international application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement.

BASIS FOR CONSIDERATION

This Information Disclosure Statement is filed:

- with the filing of the application
- ☐ without fee and within three months of the filing date of the application.
- ☐ without fee and within three months of the date of entry of the U.S. national stage.
- ☐ without fee and before the mailing date of a first Office Action on the merits (to the knowledge of the undersigned).
- ☐ without fee and with the appropriate certification above.
- ☐ without fee and with a new CPA application.
- ☐ without fee and with a Request for Continued Examination.
- ☐ with fee and before the mailing date of any of a Final Office Action, Notice of Allowance or an action that otherwise closes prosecution (to the knowledge of the undersigned).
- ☐ with fee, appropriate certification above, and before payment of the Issue Fee.

DEPOSIT ACCOUNT

- Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 50-1442.

Respectfully submitted,

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Form PTO 1449 U.S. DEPARTMENT OF (Modified) COMMERCE PATENT AND TRADEMARK OFFICE		DOCKET NO. 3805-023-27 CONT		SERIAL NO. New Application		
LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)		APPLICANT Mark Edward KANE, et al.				
		FILING DATE Herewith		GROUP ART UNIT		
U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A	5,129,605	Burns, et al.			
	B	6,459,965	Polivka, et al.			
	C	6,081,769	Curtis			
	D	6,218,961	Gross, et al.			
	E	5,751,569	Metel, et al.			
	F	6,135,396	Whitfield, et al.			
	G	6,397,147	Whithead			
	H	6,374,184	Zahm, et al.			
	I	6,421,587	Diana, et al.			
	J	6,135,396	Whitfield, et al.			
	K	6,459,964	Vu, et al.			
	L	6,377,877	Doner			
	M	6,322,025	Colbert, et al.			
	N	6,311,109	Hawthorne, et al.			
	O	5,828,979	Polivka, et al.			
	P	4,711,418	Aver, Jr., et al.			
	Q	5,867,122	Zahm, et al.			
	R	4,459,668	Inoue, et al.			
	S	6,102,340	Peek, et al.			
	T	5,533,695	Heggestad, et al.			
	U	5,452,870	Heggestad			
	V	5,340,062	Heggestad			
	W	5,950,966	Hungate, et al.			
	X	5,398,894	Pascoe			
EXAMINER				DATE CONSIDERED		
*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.						

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	Y	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	Y	6,049,745	04/11/00	Douglas et al.			
	Z	4,181,943	01/01/80	Mercer, Sr. et al.			
	AA	4,561,057	12/24/85	Haley, Jr. et al.			
	AB	5,072,900	12/17/91	Malon			
	AC	5,177,685	01/05/93	Davis et al.			
	AD	5,332,180	07/26/94	Peterson et al.			
	AE	5,364,047	11/15/94	Petit et al.			
	AF	5,394,333	02/28/95	Kao			
	AG	5,620,155	04/15/97	Michalek			
	AH	5,699,986	12/23/97	Welk			
	AI	5,740,547	04/14/98	Kull et al.			
	AJ	5,978,718	11/02/99	Kull			
	AK	5,995,881	11/30/99	Kull			
	AL	5,803,411	09/08/98	Ackerman et al.			
	AM	5,944,768	08/31/99	Ito et al.			
	AN	6,179,252 B1	01/30/01	Roop et al.			
	AO	6,345,233 B1	02/05/02	Erick			
	AP	6,371,416 B1	04/16/02	Hawthorne			
	AQ	6,373,403 B1	04/16/02	Korver et al.			
	AR	6,456,937 B1	09/24/02	Doner et al.			
	AS	6,487,478 B1	11/26/02	Azzaro et al.			
	AT	6,494,408	12/17/02	Katzer			
	AU	6,112,142	8/29/00	Shockley, et al.			
	AV	5,541,981	7/30/96	Lynn			
	AW	6,519,512	2/11/03	Haas, et al.			
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LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)		APPLICANT Mark Edward KANE, et al.					
		FILING DATE Herewith				GROUP ART UNIT	
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)							
	AX	"Testimony of Jolene M. Molitoris, Federal Railroad Administrator, U.S. Department of Transportation before the House Committee on Transportation and Infrastructure Subcommittee on Railroads", Federal Railroad Administration, United States Department of Transportation, April 1, 1998.					
	AY	"System Architecture, ATCS Specification 100", May 1995.					
	BA	"A New World for Communications & Signaling", Progressive Railroading, May 1986.					
	BB	"Advanced Train Control Gain Momentum", Progressive Railroading, March 1986.					
	BC	"Railroads Take High Tech in Stride", Progressive Railroading, May 1985.					
	BD	Lyle, Denise, "Positive Train Control on CSXT", Railway Fuel and Operating Officers Association, Annual Proceedings, 2000.					
	BE	Lindsey, Ron A., "C B T M, Communications Based Train Management", Railway Fuel and Operating Officers Association, Annual Proceedings, 1999.					
	BF	Moody, Howard G, "Advanced Train Control Systems A System to Manage Railroad Operations", Railway Fuel and Operating Officers Association, Annual Proceedings, 1993.					
	BG	Ruegg, G.A., "Advanced Train Control Systems ATCS", Railway Fuel and Operating Officers Association, Annual Proceedings, 1986.					
	BH	Malone, Frank, "The Gaps Start to Close" Progressive Railroading, May 1987.					
	BI	"On the Threshold of ATCS", Progressive Railroading, December 1987.					
	BJ	"CP Advances in Train Control", Progressive Railroading, September 1987.					
	BK	"Communications/Signaling: Vital for dramatic railroad advances", Progressive Railroading, May 1988.					
	BL	"ATCS's System Engineer", Progressive Railroading, July 1988.					
	BN	"The Electronic Railroad Emerges", Progressive Railroading, May 1989.					
	BM	"C ³ Comes to the Railroads", Progressive Railroading, September 1989.					
	BO	"ATCS on Verge of Implementation", Progressive Railroading, December 1989.					
	BP	"ATCS Evolving on Railroads", Progressive Railroading, December 1992.					
	BQ	"High Tech Advances Keep Railroads Rolling", Progressive Railroading, May 1994.					
	BR	"FRA Promotes Technology to Avoid Train-To-Train Collisions", Progressive Railroading, August 1994.					
	BS	"ATCS Moving slowly but Steadily from Lab for Field", Progressive Railroading, December 1994.					
	BT	Judge, T., "Electronic Advances Keeping Railroads Rolling", Progressive Railroading, June 1995.					
	BU	"Electronic Advances Improve How Railroads Manage", Progressive Railroading, December 1995.					
EXAMINER					DATE CONSIDERED		
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LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)	3805-023-27 CONT		New Application
	APPLICANT		
	Mark Edward KANE, et al.		
	FILING DATE		GROUP ART UNIT
	Herewith		
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)			
CU	Department of Transportation Federal Railroad Administration, Federal Register, Vol. 66, No. 155, pp. 42352-42396, August 10, 2001.		
CV			
CW			
CX			
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LIST OF RELATED CASES

Docket Number	Serial or Patent Number	Filing or Issue Date	Status or Patentee
3805-001-27	10/267,959	October 10, 2002	Pending
3805-002-27	10/157,874	May 31, 2002	Pending
3805-003-27	10/186,426	July 2, 2002	Pending
3805-004-27	10/184,929	July 1, 2002	Allowed
✓ 3805-006-27	10/440,129	May 19, 2003	Pending
3805-007-27	10/267,962	October 10, 2002	Pending
3805-008-27	10/331,768	December 31, 2002	Pending
3805-009-27	10/300,852	November 21, 2002	Pending
✓ 3805-010-27	10/392,850	March 21, 2003	Pending
✓ 3805-016-27	Pending	July 1, 2003	Pending
✓ 3805-21-27	Pending	July 2, 2003	Pending

The cases listed on this Notice of Related Cases include cases which may contain information that is material to patentability. The listing of a case on this Notice should not be taken as an indication or admission that any information contained therein is material. Prior art for each case listed on this Notice may have been cited. **The files corresponding to the listed cases, which are available to the Examiner, may not have not been examined to ascertain the materiality of any prior art therein.** Accordingly, the Examiner is requested to review the file for each case listed on this Notice in order to assess the materiality of such prior art.